

Generic Clearance for the
Collection of Qualitative Feedback on Agency Service Delivery
Supporting Statement

A. JUSTIFICATION

1. Circumstances Making the Collection of Information Necessary

Executive Order 12862 directs Federal agencies to provide service to the public that matches or exceeds the best service available in the private sector. In order to work continuously to ensure that our programs are effective and meet our customers' needs, the Commodity Futures Trading Commission's Office of Consumer Outreach (OCO) (hereafter "OCO") seeks to obtain OMB approval of a generic clearance to collect qualitative feedback on our service delivery. By qualitative feedback we mean information that provides useful insights on perceptions and opinions, but are not statistical surveys that yield quantitative results that can be generalized to the population of study.

This collection of information is necessary to enable the OCO to garner customer and stakeholder feedback in an efficient, timely manner, in accordance with our commitment to improving service delivery. The information collected from our customers and stakeholders will help ensure that users have an effective, efficient, and satisfying experience with OCO programs. This feedback will provide insights into customer or stakeholder perceptions, experiences and expectations, provide an early warning of issues with service, or focus attention on areas where communication, training or changes in operations might improve delivery of products or services. These collections will allow for ongoing, collaborative and actionable communications between the OCO and its customers and stakeholders. It will also allow feedback to contribute directly to the improvement of program management.

2. Purpose and Use of the Information Collection

The OCO will undertake a variety of service delivery-focused activities over the next few years which include consumer outreach and information-sharing with stakeholders that are responsive to stakeholders' needs and sensitive to changes in the consumer market. The proposed information collection activity will use similar methods for information collection or otherwise share common elements, and provide a means to gather qualitative customer and stakeholder feedback in an efficient, timely manner. The solicitation of information on delivery of consumer services will address such areas as appropriate messages, effective message delivery methods, and current consumer beliefs, psychographics and social norms that will assist the agency in developing an outreach and communications campaign designed to change consumer behavior.

3. Consideration Given to Information Technology

Where appropriate, automated information technology will be used to collect and process information for these surveys to reduce the burden on the public. However, the most appropriate methodology will involve written or oral responses to brief questionnaires.

4. Duplication of Information

No similar data are gathered or maintained by the OCO, or are available from other sources known to the OCO.

5. Reducing the Burden on Small Entities

Small businesses or other small entities may be involved in these efforts but the OCO will minimize the burden on them by sampling, asking for readily available information, and using short, easy-to-complete information collection instruments. Therefore, these surveys will not have a significant impact on small business or other small entities.

6. Consequences of Not Conducting Collection

Without these types of feedback, the OCO will not have timely information to adjust its services to meet customer needs.

7. Special Circumstances

There are no special circumstances. The information collected will be voluntary and will not be used for statistical purposes.

8. Consultations with Persons Outside the Agency

In accordance with 5 CFR 1320.8(d), on January 28, 2013, a 60-day notice for public comment was published in the Federal Register at 78 FR 5780, and on April 8, 2013, a 30-day notice for public comment was published in the Federal Register at 78 FR 20897. One public comment was received on May 1, 2013, that did not address the merits of the notices.

9. Payment or Gift

No payment or gift will be provided to survey respondents.

10. Confidentiality

The confidentiality of respondent identification and information will be assured to the maximum extent allowed by law. Participation will be fully voluntary and, to the extent possible, responses will be anonymous.

11. Sensitive Nature

No questions will be asked that are of a personal or sensitive nature.

12. Burden of Information collection

The total annual estimated burden imposed by this collection of information is 4,800 hours annually. The burden is as follows:

Estimated number of respondents: 240

Estimated average number of responses: 10 per year

Estimated total average annual burden on respondents: 2,400

Frequency of collection: once per request

Average minutes per response: 120

Estimated total annual burden hours requested: 4,800 hours

13. Costs to Respondents

No costs are anticipated.

14. Costs to the Federal Government

An outside vendor may be used to conduct the surveys. If so, the costs are unknown at this time.

15. Reason for Change

Not applicable. This is a new request for a generic approval.

16. Tabulation of Results, Schedule, Analysis Plans

Feedback collected under this generic clearance provides useful information, but does not yield data that can be generalized to the overall population.

17. Display of OMB Approval Date

We are requesting no exemption.

18. Exceptions to Certification for Paperwork Reduction Act Submissions

These activities comply with the requirements in 5 CFR 1320.9.

B. STATISTICAL METHODS

Data collection methods and procedures will vary; however, the primary purpose of these collections will be for internal management purposes, there are no plans to publish or otherwise release this information. The entire process is still in the development stage.

1. Information Collection Procedures

Participation will be fully voluntary, and non-participation will have no impact on eligibility for or receipt of futures services. Information to be collected will be limited to that needed to assess customer satisfaction. Repeated implementation of quantitative surveys will be at an interval appropriate to measure the impact of changes, and to monitor ongoing levels of satisfaction.